jc630 U.S. PTO
02/22/99

jc542 U.S. PTO
09/253793
02/22/99

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

INVENTORS:	Jeffrey C. Robison Stephen R. Chipman Craig C. Smith
ASSIGNEE:	Caldera Engineering, LC
SERIAL NUMBER:	n/a
DATE FILED:	n/a
TITLE:	BANDED VALVE PLUG HEAD
ATTORNEY DOCKET:	4164 P

Assistant Commissioner for Patents
Washington, DC 20231

FEE CALCULATION SHEET

Honorable Assistant Commissioner:

The fee for the accompanying patent application is calculated as follows:

Basic Filing Fee (small entity)	$380.00
Independent claims in excess of three (x 39.00 each)	$
Claims in excess of twenty (x 9.00)	$
Recordation of Assignment	$ 40.00
TOTAL	$420.00

A check for this amount is enclosed.

Respectfully submitted this 22nd day of February, 1999.

Lloyd W. Sadler
Reg. No. 40,154
MCCARTHY & SADLER, LC
39 Exchange Place, Suite 100
Salt Lake City, Utah 84111
Telephone: (801) 323-9399
Facsimile: (801) 323-9396

jc542 U.S. PTO
09/253793
02/22/99

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

INVENTORS: Jeffrey C. Robison
Stephen R. Chipman
Craig C. Smith

ASSIGNEE: Caldera Engineering, LC

SERIAL NUMBER: n/a

DATE FILED: n/a

TITLE: BANDED VALVE PLUG HEAD

ATTORNEY DOCKET: 4164 P

Assistant Commissioner for Patents
Washington, DC 20231

CERTIFICATE OF MAILING

Honorable Assistant Commissioner:

I hereby certify that the attached paper of fee (Patent Application) is being deposited with the United States Postal Service as Express Mail Post Office to Addressee, A Express Mail Mailing Label Number EJ566990220US, (under 37 C.F.R. § 1.10) on this 22nd day of February, 1999 with sufficient postage and in an envelope addressed to the Assistant Commissioner for Patents, Washington, DC 20231.

Signature of registered practitioner or other person having a reasonable basis to expect mailing to occur on the date of deposit shown pursuant to 37 C.F.R. § 1.8(a) or person actually making deposit pursuant to 37 C.F.R. § 1.10(b).

Lloyd W. Sadler, Reg. No. 40,154
Name of person whose signature is given above

EJ566990220US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

INVENTORS:	Jeffrey C. Robison Stephen R. Chipman Craig C. Smith
ASSIGNEE:	Caldera Engineering, LC
SERIAL NUMBER:	n/a
DATE FILED:	n/a
TITLE:	BANDED VALVE PLUG HEAD
ATTORNEY DOCKET:	4164 P

Assistant Commissioner for Patents
Washington, DC 20231

09255375 .022299

COVER LETTER

Honorable Assistant Commissioner:

Enclosed herewith please find the following documents comprising a United States patent application: (1) specification, claims and drawings, (2) fee calculation sheet, (3) fee, (4) declaration of inventor(s), (5) assignment with assignment cover sheet, (6) statements of small entity status, and (7) information disclosure statement and form(s) 1449.

Respectfully submitted this 22nd day of February, 1999.

Lloyd W. Sadler

Lloyd W. Sadler
Reg. No. 40,154
MCCARTHY & SADLER, LC
39 Exchange Place, Suite 100
Salt Lake City, Utah 84111
Telephone: (801) 323-9399
Facsimile: (801) 323-9396

EJ566990220US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

INVENTORS:	Jeffrey C. Robison Stephen R. Chipman Craig C. Smith
ASSIGNEE:	Caldera Engineering, LC
SERIAL NUMBER:	n/a
DATE FILED:	n/a
TITLE:	BANDED VALVE PLUG HEAD
ATTORNEY DOCKET:	4164 P

Assistant Commissioner for Patents
Washington, DC 20231

09253793.022299

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS

--INDEPENDENT INVENTOR--
(37 CFR 1.9(c), (f) and 1.27(b))

Honorable Assistant Commissioner:

As the below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR § 1.9(c) for the purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled **BANDED VALVE PLUG HEAD** described in a patent application filed herewith.

I have not assigned, granted, conveyed or licensed and I am not under any obligation under contract or law to assign, grant, convey or license any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR § 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR § 1.9(d) or a nonprofit organization under 37 CFR § 1.9(e).

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the due date on which status as a small entity is no longer appropriate. (37 CFR § 1.28(b)).

I hereby declare that all statements made herein are of my own knowledge and are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Signature of Inventor:

Name of Inventor: Jeffrey Robison

Date: 2/20/99

Signature of Inventor:

Name of Inventor: Stephen R. Chipman

Date: 20 February 1999

Signature of Inventor: Craig C Smith

Name of Inventor: Craig C. Smith

Date: 20 February 1999

09253763.022299

EJ566990220US

09253793.022299

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

INVENTORS:	Jeffrey C. Robison Stephen R. Chipman Craig C. Smith
ASSIGNEE:	Caldera Engineering, LC
SERIAL NUMBER:	n/a
DATE FILED:	n/a
TITLE:	BANDED VALVE PLUG HEAD
ATTORNEY DOCKET:	4164 P

Assistant Commissioner for Patents
Washington, DC 20231

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS

--SMALL BUSINESS CONCERN-- (37 CFR 1.9(f) AND 1.27(c))

Honorable Assistant Commissioner:

I hereby declare that I am

☐ the owner of the small business concern identified below:

☒ an official of the small business concern identified below and that I am empowered to act on behalf of said corporation:

NAME OF CONCERN: Caldera Engineering, LC

ADDRESS OF CONCERN: 774 North 1890 West
Provo, Utah 84601

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR § 121.3-18, and reproduced in 37 CFR § 1.9(d) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the business concern, including those of its affiliates, does not exceed 500 persons. For the purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled **BANDED VALVE PLUG HEAD** by the above-named inventors described in

☒ the specification filed with this declaration.

☐ application Serial No. ______________, filed ______________ .

☐ Patent No. ________________, issued ____________________ .

If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 CFR § 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR § 1.9(d), or a nonprofit organization under 37 CFR § 1.9(e).

09253763.022299

☒ no such person, concern or organization exists.

☐ each such person, concern or organization is listed below:

NAME: ____
ADDRESS: ____
____

[] INDIVIDUAL [] SMALL BUSINESS ENTITY
☐ NONPROFIT ORGANIZATION

I acknowledge the duty of the small business concern to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the due date on which status as a small entity is no longer appropriate. (37 CFR § 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

On Behalf of: Caldera Engineering, LC

NAME OF PERSON SIGNING: Stephen R. Chipman

TITLE OF PERSON SIGNING: Manager of Limited Company

SIGNATURE: ______________ DATE: 20 February 1999

09253793.022299